



# Colorado's Race to the Top Monitoring Plan

Submitted to:  
**US Department of Education**

By:  
**Colorado Department of Education – Vision 2020 Unit**

August 2012

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**The Colorado Department of Education**  
Vision 2020 –Race to the Top  
201 E. Colfax Ave., Denver, CO 80203  
303.866.5723  
[racetothetop@cde.state.co.us](mailto:racetothetop@cde.state.co.us)

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## Overview

Colorado's Race to the Top Monitoring Plan defines strategies for both programmatic and fiscal monitoring at the state and subgrantee levels with respect to implementation of their approved scopes of work.

## Progress and Performance Monitoring Routines

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### 1. Colorado Department of Education (CDE)

Colorado's Race to the Top (RTTT) management team includes the RTTT Director and RTTT Project Manager. Additional monitoring and support will be provided by CDE's Associate Commissioner of Achievement and Strategy.

The RTTT management team will conduct monthly progress meetings at the Director and Project Manager levels. These meetings will include a review of each RTTT component's scope of work, timelines, budgets, successes, and challenges.

To comply with Federal requirements, CDE will participate in monthly calls with its designated Program Officer from the US Department of Education. Prior to each of these calls, the Project Director will submit a written progress report and update Colorado's scope of work in GRADS, as necessary. CDE will also submit an Annual Performance Report to the U.S. Department of Education (US DoE) and participate in on-site monitoring visits as requested.

### 2. Local Education Agencies (LEA) and Boards of Cooperative Educational Services (BOCES)

A total of 161 Colorado LEAs are participating in RTTT. Ninety of these LEAs chose to pool their funds under ten BOCES and a lead LEA (Elbert School District). CDE's RTTT Director and Project Manager will be responsible for monitoring the activities and expenditures of the participating LEA/BOCES. The RTTT manual created for the LEAs and BOCES is included with this report. (See Attachment D)

#### Roles of BOCES and LEAs Pooling Funds

Each participating LEA will act as its own fiscal agent for the purposes of the RTTT grant. For LEAs that are pooling funds, the BOCES or lead district will invoice the districts for their expended amount based on the LEAs' approved scopes of work. The LEA will request funds from CDE, and CDE will send a check directly to the LEA. The LEA is responsible for paying the BOCES or lead district.

BOCES and the lead LEAs will be responsible for completing all performance monitoring routines as well as expenditure reports.

#### Tiered Monitoring System

In order to provide a level of monitoring and support consistent with LEA and BOCES needs, Colorado will use a two-tiered monitoring system. Level One LEA/BOCES will submit their scope of work (SOW) progress updates on an annual basis; no later than July 10 of each year. Level Two LEA/BOCES will submit their progress updates on a semi-annual basis; no later than July 10 and January 10 of each year.

Colorado's RTTT office determined the tier designation for each LEA/BOCES based on the following criteria:

1. Accreditation Status of the District. For districts pooling funds, the accreditation status of the majority of the districts was taken into account.
2. Amount of Funds Awarded

Below is a graphic representing the tiered structure:

	Accredited with Distinction	Accredited	Accredited with Improvement Plan	Accredited with Priority Improvement Plan	Accredited with Turnaround
\$1,000 - \$99,999	1	1	1	2	2
\$100,000 - \$149,999	1	1	1	2	2
\$150,000 - \$499,999	1	1	2	2	2
\$500,000 - \$2.4 million	1	1	2	2	2

Some LEAs/BOCES were placed in a different level than indicated using these criteria. In those instances previous experience and planned activities were considered in the final designation of level.

LEAs and BOCES will use the state's C-FIRS Tracker system for updating and submitting required monitoring information.

### Scope of Work Progress Updates

Depending on the tier into which an LEA/BOCES is placed, the LEA/BOCES will submit a progress update either semi-annually or annually. The scope of work progress update is designed to gather information on activities, progress, and challenges in implementing the RTTT grant. CDE will also use this update to provide additional technical support to LEAs and BOCES, as well as connect LEAs and BOCES with one another for support and resources.

Colorado's RTTT office embedded additional columns (Status of Action, Dollars Spent to Date, and Actual Performance Targets/Fiscal Year) into each LEA/BOCES SOW document's workplan to form the progress update. (See Attachment A)

Once an LEA/BOCES' funds are expended, they will no longer be required to submit semi-annual updates and will report on an annual basis only. CDE will notify each LEA/BOCES via email to confirm when they qualify for annual reporting.

Only LEAs and BOCES managing activities/funds will submit progress updates. LEAs that are pooling funds with a BOCES or lead district do not have to submit progress updates.

**Scope of Work Progress Updates Deadlines**

*Progress updates will be due on an annual or semi-annually based on the LEA/BOCES' tier status.*

TIER ONE: October 2012, July 2013, July 2014, July 2015, and December 2015

TIER TWO: October 2012, January 2013, July 2013, January 2014, July 2014, January 2015, July 2015, and December 2015

**Annual Performance Target Update**

At the end of each fiscal year, subgrantees are required to submit a progress update on their performance targets to CDE. This update is due on July 10<sup>th</sup> of each year (2013, 2014, and 2015), and is built into their scope of work document. (See Attachment A)

Only LEAs and BOCES managing activities will submit annual performance target updates. LEAs pooling funds with a BOCES or lead district do not have to submit individual annual performance target updates.

### Dissemination of Information/Feedback

CDE's goal is to ensure that each LEA/BOCES is successful in achieving its desired goals and outcomes as described in its scope of work. To achieve this goal, Colorado's RTTT office will schedule phone calls with participating LEAs/ BOCES twice a year to discuss progress towards stated activities, goals, and outcomes in their scopes of work. Colorado's RTTT office will also provide written feedback via e-mail on all submitted reports within 30 days of submission at which time CDE will indicate if a follow-up phone call or site visit is required.

When possible, Colorado's RTTT office will combine efforts with other CDE units (federal programs, field services, etc.) to conduct joint site visits to increase efficiency and effectiveness.

The purposes of the site visit are to:

- support ongoing quality improvement;
- verify subgrantee accountability for program implementation and management;
- review the progress toward the goals in the scope of work; and
- assure compliance with federal and state RTTT requirements.

To ensure Colorado's RTTT office is providing the right technical assistance and support, CDE will survey the participating RTTT LEAs and BOCES on an annual basis.

### Subgrant Amendment Process

An LEA/BOCES subgrantee may request a revision of its RTTT goals, activities, timelines, budget, or annual targets, provided that the following conditions are met:

- Such revisions do not result in the LEA/BOCES' failure to comply with the terms and conditions of this award and the program's statutory and regulatory provisions;
- The revisions are aligned with the state's RTTT application proposal; and
- The CDE and the LEA/BOCES mutually agree in writing to such revisions. CDE has sole discretion to determine whether to agree to such revisions or modifications. (See Attachment D, page 7)

### Corrective Actions

All LEAs agreed to the below corrective actions through a signed MOU and Grants Fiscal Award Letter:

If the Colorado Department of Education (CDE) determines that the LEA is not meeting its goals, timelines, budget, or annual targets or is not fulfilling other applicable requirements, CDE will take appropriate enforcement action, which could include but is not limited to a collaborative process between CDE and the LEA, temporarily withholding funds, or disallowing costs.

If any findings of misuse of these funds are discovered, projects funds must be returned to CDE. CDE may terminate a grant award upon thirty (30) days notice if it is deemed by CDE that the applicant is not fulfilling the requirements of the funded program as specified in the approved project application, or if the program is generating less than satisfactory results.

# Fiscal Monitoring and Reporting (Accountability)

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## 1. Tracking of Funds for the Colorado Department of Education

The RTTT grant has been given unique account codes to allow for seamless tracking.

CDE's Budget Unit and RTTT's Project Manager monitor expenditures, encumbrances and balances of RTTT funds on a monthly basis. The Budget Unit provides the RTTT office and the Associate Commissioner of Achievement and Strategy with monthly summary reports.

Colorado's RTTT funds will be audited using the stated federal requirements in the OMB circular 133. RTTT funds are also subject to Education Department General Administrative Regulations (EDGAR) and the reporting requirements associated with Federal Funding Accountability and Transparency Act (FFATA).

### Vendor Contracts and Agreements

Colorado's RTTT office will monitor the activities and payments for all contracts and agreements relating to Race to the Top. The monitoring will consist of reviewing all contracts before they are approved to ensure the activities and expenditures align with RTTT's scope of work, budget, and outcomes. All payment approval will be handled by the RTTT Project Manager who will confirm all deliverables were received and billing is aligned with the original contract. During the monthly meetings with Educator Effectiveness, Content Collaborative, and STEM, the RTTT Director and/or Project Manager will address the status of each component's contracts. If there are amendments that need to be made to any contracts or agreements, the RTTT Director and/or Project Manager will notify the Associate Commissioner of Achievement and Strategy.

## 2. Tracking of Funds for LEA/BOCES

### Request for Funds

To comply with the federal requirements from the US Department of Education, CDE will require all LEAs (including LEAs that are pooling funds under a BOCES or lead district) to request reimbursement funds via CDE's C-FIRS Tracker system. LEAs will be able to request funds on a monthly basis through a pre-populated form provided by CDE's Grants Fiscal Unit. (See Attachment B)

### Expenditure Reports

To determine whether any discrepancies exist between actual expenditures and the approved budget, each LEA, BOCES, or lead LEA will submit expenditure reports on either a semi-annual or annual basis depending on their tiered rating. LEAs pooling funds under a BOCES or lead LEA will not be required to submit these reports. These expenditure reports will link all expenses to budget line items as well as actions listed in the LEA/BOCES scope of work. (See Attachment C)

### Audit Requirements

The Local Government Audit Law (C.R.S. 29-1-601 et seq) requires Colorado local governments (school districts and BOCES) to have an annual audit of their financial statements. The law states that the audit must be performed by an independent Certified Public Accountant (CPA) and be in accordance with generally accepted auditing standards.

## Single Audit Requirements

The Single Audit Act establishes standards for obtaining consistency and uniformity for audits of states, local governments, and nonprofit organizations expending federal funds. School Districts and BOCES are required to complete a Single Audit in accordance with the Single Audit Act if they have expenditures of federal financial assistance in excess of \$500,000.

Note: Due to the fact that the Department does not allow sub-recipient arrangements at the school district for the RTTT grant, the BOCES should not be considered a sub-recipient of the school district for single audit purposes. However, the single audit of the school district must include the funds spent by the BOCES on behalf of the school district within the school district audit. The BOCES may be requested to assist with documents or other matters during the single audit of the school district.

Guidance on Single Audit compliance requirements can be found in the Office of Management and Budget (OMB) Circular A-133, Audits of States, Local Governments and Non-Profit Organizations. The OMB has also issued an annual Compliance Supplement to assist auditors in performing the required audit in accordance with Circular A-133. The Supplement released in March each year is effective for audits with fiscal years beginning after June 30 of that year.

## Allowable LEA/BOCES Budget Revisions: 10% Rule

- Budget revisions include any changes to funding in budget lines.
- Any budget change must remain within the scope and objectives of the grant program.
- Within a fiscal year, budget lines may be revised without prior written approval from CDE if the cumulative amount of the transfers is less than 10% of the **total** budget during a single fiscal year.
- If the cumulative amount of the transfers is 10% or more, written notification of the budget change, using Colorado's RTTT Amendment form, must be provided to Colorado's RTTT office prior to implementing any changes to grant activities.
- Any budget change must be made no less than 90 days prior to the end of the fiscal year.
- Changes are subject to CDE review.

## Carry Over of Funds for LEA/BOCES

- Funds should be expended in accordance with the submitted scope of work and budget.
- If necessary, funds may be carried over to complete fiscal responsibilities encumbered at the end of the preceding fiscal year.
- A maximum of 15% of annual budget funds remaining at the end of the fiscal year will be carried forward automatically to the next fiscal year.
- This carry over is automatic and will carry forward funds in existing budget categories/lines.
- If there are remaining funds at the end of the four-year grant period, those funds will be returned to the US Department of Education.



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## Attachments

- A: Scope of Work Progress Update and Annual Performance Target Update Example (Tab – Part 4a in LEA-BOCES Scope of Work)
- B: Request for Funds Example
- C: Expenditure Report Example (Tab – Part 5 in LEA-BOCES Scope of Work)
- D: Race to the Top Grant Management Manual for LEAs and BOCES

Part 4a: Sample Scope of Work Progress Update

Steps for Filling Out the Colorado's RTTT Progress Update

1. Status of Actions: Please describe the status of each action in your SOW. This should include the status on the timelines, budget and performance targets, along with the overall progress of the action.
2. Dollars Spent to Date: Please write the dollar amount spent on each action.
3. Progress to Achieving Performance Targets: Please indicate your progress to achieving your stated performance targets for each fiscal year.

Two samples are provided. Scroll down to see the second sample.

4. Implementing Content Collaborative tools.											Performance Targets for Overall Activity						Action SY 2011-12	Actual SY 2012-13	Actual SY 2013-2014	Actual SY 2014-15
Ensure Colorado Academic Standards are being measured and assessed in social studies' classrooms.																				
Goal of selected activity:																				
Actions	Oct 2012: Status of Actions	Jan 2013: Status of Actions	July 2013: Status of Actions	Jan 2014: Status of Actions	July 2014: Status of Actions	Start date	End date	Budget	Dollars Spent to Date	Key Personnel	Description	Baseline	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	Progress to Achieving Performance Targets	Progress to Achieving Performance Targets	Progress to Achieving Performance Targets	Progress to Achieving Performance Targets
Attend CDE training and/or webinar on use of Content Collaborative tools	N/A	District XXXX attended a CDE training on October 24, 2012 with five high school social studies chairs and the District Curriculum Coordinator; all attendees found the training to be useful. After the meeting each chair was tasked developing one of the breakout sessions at the December/March trainings.	Completed	Completed	Completed	October 24, 2012	October 24, 2012	\$5,000	\$4,500 The travel expenses were lower than anticipated.	District Curriculum Coordinator, high school social studies chairs	Percentage of high schools implementing one or more social studies rubrics, assessments or other tools from the SchoolView database	N/A	N/A	75%	100%	100%				
Conduct two training sessions for high school social studies teachers on social studies tools and resources developed by the Content Collaboratives	N/A	District XXXX has conducted its first out of two training sessions. The first one went well and the district learned a lot about challenges the teachers are facing. The teachers walked away with new information/tools on how to enhance their current curriculum and assessments with the Content Collaboratives tools. The March training will focus on assisting teachers with the implementation process.				December 5, 2012 Training 1	March 6, 2013 Training 2	\$10,000	\$6,000 District XXXX spent more than anticipated (\$600 over) on the first conference. Luckily we saved \$500 on travel expense in October, and we will be making minor adjustments to decrease expenses for the March training.	District Curriculum Coordinator High school social studies department chairs All high school social teachers	Percentage of high school teachers indicating they are comfortable using the new resources	N/A	N/A	60%	80%	100%				
Provide on-site coaching and support to social studies teachers/teams at each high school (2 visits to each school, meeting with school social studies teams)	N/A	Due to feedback from our December 5 <sup>th</sup> training, we have pushed back the start date to our on-site coaching to begin January 28. We will be creating new support documents in January to provide better assistance to our social studies teachers/teams.				January 7, 2013	May 15, 2013	\$5,000	\$0 District XXXX has not started these activities yet.	District Curriculum Coordinator School social studies teams										
Provide ongoing technical assistance to social studies teachers in using the Content Collaborative tools	N/A	N/A				August 2013	December 2014	LEA funds	N/A	District Curriculum Coordinator High school social studies department chairs										
Participate in CDE training on the Content Collaborative tools	N/A	District XXXX attended one CDE training on October 24. See action item 1 for more details.				October 2012	December 2015	LEA funds	N/A	District Curriculum Coordinator Applicable										
Support teachers of all content areas with integrating multiple measures of student growth into their instruction	N/A	At the moment we have sent 5 high school teachers to one of CDE's content collaboratives meetings, and they are planning on implementing new assessments during the school year. Also, These teachers will present during training sessions throughout the year.				October 2012	December 2015	LEA funds	N/A	District Curriculum Coordinator Principals Grade and/or department chairs										

Selected allowable activity from Part 3:						9. Providing training to implement the LEA's evaluation system.					Performance Targets for Overall Activity									
Goal of selected activity:						Build capacity in each school to provide high quality instructional feedback through peer coaching, peer evaluation, and administrative evaluation.														
Actions	Oct 2012: Status of Actions	Jan 2013: Status of Actions	July 2013: Status of Actions	Jan 2014: Status of Actions	July 2014: Status of Actions	Start date	End date	Budget	Dollar Spent to Date	Key Personnel	Description	Baseline	SY 2011-12	SY 2012-13	SY 2013-14	SY 2014-15	Actual SY 2011-12 Progress to Achieving Performance Targets	Actual SY 2012-13 Progress to Achieving Performance Targets	Actual SY 2013-2014 Progress to Achieving Performance Targets	Actual SY 2014-15 Progress to Achieving Performance Targets
Attend CDE training on use of evaluation rubrics and instruments.	District XXXX attended one CDE training on evaluation rubrics with the district administrator, two teacher/leaders and two instructional coaches on July 23, 2012. All attendees found the training to be useful, but would have enjoyed more model examples. After the meeting the attendees meet to discuss how this information would be presented at the quarterly training sessions.	Completed	Completed	Completed	Completed	June 2012	August 2012	\$2,000	\$1,987 for five people to attend the two-day conference	District admin., teacher leaders, instructional coaches	Percentage of teacher leaders achieving desired inter-rater reliability on use of rubrics	N/A	N/A	60%	80%	95%				
Conduct quarterly training sessions over the duration of the grant period for all teacher leaders who will serve as both peer coaches and peer evaluators and for administrators who will conduct evaluations. First two years of training will be funded with RTTT, remaining through LEA funds.	Completed its first of twelve trainings. District XXXX worked off of information provided from the CDE's Educator Effectiveness training in July, and based on feedback plans to make the next training about how to effectively communicate the evaluation plan to elementary, middle and high schools teachers and staff.	With the completion of two of the twelve trainings, District XXXX has a better understanding of the challenges the peer coaches and peer evaluators are facing and is working with CDE's Educator Effectiveness unit to provide necessary and valuable information at the upcoming trainings that address these challenges. Some of these challenges include: mapping assessments to student growth, identifying the right instructional tools to use, classroom management, using standards effectively to determine content to be taught.				September 2012	July 2015	\$13,000	After two trainings, District XXXX has spent \$3,250, and will spend the remaining amount of \$9,750 on six trainings over the next 18 months	District HR coordinator, school administrative staff, teacher leaders, instructional coaches	Percentage of teachers indicating that they are receiving high quality, actionable feedback from their peer coaches	N/A	N/A	60%	80%	95%				
Provide onsite coaching for teacher leaders. RTTT funds cover more intensive coaching in 2012-13; LEA funds support ongoing coaching.	District XXXX is in the very beginning stages of this action and is assigning coaches to each teacher leader.	District XXXX is in the beginning stages of this action; everything seems to be going well and on track. The coaches will tailor their onsite visits based on the feedback gathered at the quarterly trainings.				September 2012	July 2015	\$5,000	Has spent \$2,475 on coaching to date, and will spend the remaining \$2,525 in the next six months.	District HR coordinator, school administrative staff, teacher leaders, instructional coaches										
Provide ongoing, actionable feedback to all teachers and leaders	District XXXX is doing a "needs assessment" to see where the focus of technical support needs to be.	After assessing the needs of teachers and school leaders, District XXXX has decided the best way to give actionable feedback will be to conduct site visits and create technical support documents that correlate to CDE's technical support resources on evaluation system. These documents will be created in at the end of year two				September 2012	December 2015	\$2,000	\$0 District XXXX plans on using the money to create technical support documents in year 3.	School administrative staff, teacher leaders, instructional coaches										

**RACE TO THE TOP**  
**INSTRUCTIONS - REQUEST FOR FUNDS**

**This form includes the following:**

- District Identification
- Race to the Top Fund Allocations
- Expenditures and Funds Request Summary
- Year-by-Year Fund Availability
- Current Year Total Funds Available
- Submission Instructions

**Step One      District Identification**

In the highlighted box select your district from the dropdown menu

Total 4-Year Allocation, Year-by-Year Funds Available and Current Year - Total Funds Available amounts will be automatically populated

**Step Two      Expenditures And Funds Request Summary**

Enter the total expenditures to date

For subsequent requests after your first, enter the previously requested funds for the current year

The Current Request for Funds amount will calculate automatically

The Remaining Funds Available for the current year will automatically populate

**Step Three      SUBMISSION**

Completed Excel workbook must be submitted via Tracker

**Tracker upload Instructions:**

- 1 Log into Tracker
- 2 Type 'LEA' in the 'Search' box
- 3 Select 'LEA/BOCES-0000'
- 4 Select '(11) Race To The Top (RTTT)'
- 5 Select 'II.Implementation'
- 6 Select '2.1: RTTT Implementation'
- 7 Download RTTT Request For Funds Excel file from 'Resources'
- 8 From 'LEA Evidence' select paper clip icon by 'RTTT-Request For Funds'

- 9 **Select the paper clip icon then click on 'Browse' to upload RFF file from your computer or drive (Note: add four digit district code and district name to front of 'Title \*'). Then select 'Attach' to upload file into Tracker.**

**Colorado Department of Education  
Public School Finance Unit / Grants Fiscal Management Team**

**RACE TO THE TOP  
CFDA: 84.413A, CDE Grant Code 4413**

DISTRICT CODE:

**Total 4 Year Allocation:**

**#N/A**

**EXPENDITURES AND FUNDS REQUEST SUMMARY**

Year 1 Funds Available	#N/A
Year 2 Funds Available	#N/A
Year 3 Funds Available	\$0
Year 4 Funds Available	\$0
<b>Current Year - Total Funds Available</b>	<b>#N/A</b>
District Expenditures to Date	
Previously Requested Funds	
<b>Current Request for Funds</b>	<b>\$0</b>
Remaining Funds Available	#N/A

**REQUEST FOR REIMBURSEMENT MUST BE SUBMITTED AS FOLLOWS:**

SUBMIT COMPLETED ELECTRONIC WORKBOOK VIA TRACKER

**Questions can be directed to:**

Tim Kahle 303-866-6034

Robert Hawkins 303-866-6775

Martin Petrov 303-866-6389

### Part 5: Sample Budget Summary

This budget summary will automatically tally the separate activity budgets that precede this budget summary sheet. You do not need to input data into this budget summary. It will automatically

The columns for requested reimbursement should be left blank. These columns will be completed when the LEA requests expense reimbursement.

	<b>Year 1 Budget Receipt of funds- June 30, 2012</b>	<b>Year 1 Requested Reimbursement</b>	<b>Year 2 Budget July 1, 2012-June 30, 2013</b>	<b>Year 2 Requested Reimbursement</b>	<b>Year 3 Budget July 1, 2013-June 30, 2014</b>	<b>Year 3 Requested Reimbursement</b>	<b>Year 4 Budget July 1, 2014- December 30, 2015</b>	<b>Year 4 Requested Reimbursement</b>	<b>Total Budget</b>	<b>Total Requested Reimbursement</b>
1 Personnel	0	0	10000	6000	0		0		10000	6000
2 Fringe	0	0	0	0	0		0		0	0
3 Travel	0	0	15000	9737	0		0		15000	9737
4 Equipment	0	0	0	0	0		0		0	0
5 Supplies	0	0	1000	0	750		250		2000	0
6 Contractual	0	0	15000	2475	0		0		15000	2475
7 Other	0	0	0	0	0		0		0	0
8 Total	0	0	41000	18212	750	0	250	0	42000	18212



# **Race to the Top Phase III**

## **Grant Management Manual for LEAs and BOCES**

By:  
**Colorado Department of Education – Vision 2020 Unit**

August 2012

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**The Colorado Department of Education**  
Vision 2020 – Race to the Top  
201 E. Colfax Ave., Denver, CO 80203  
303.866.5723  
[racetothetop@cde.state.co.us](mailto:racetothetop@cde.state.co.us)

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## Colorado's Race to the Top Grant

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Colorado's \$17.9 million Race to the Top grant, disbursed over four years, is focused on four major areas designed to advance the state's education reforms. The Race to the Top areas of focus are:

1. Leveraging and expanding the state's capacity to support district implementation of the state's reforms;
2. Implementing the Colorado Academic Standards through the work of Content Collaboratives (teams of educators with content and assessment expertise who will develop tools and assessments to assist educators in implementing the new standards and with accessing multiple measures of student learning for use in educator evaluations);
3. Supporting district implementation of the state's educator effectiveness law (S.B. 10-191); and
4. Increasing access to STEM education across the state

Fifty percent of the award is designated for local education agency (LEA) use based on Title I-A share distributions. Awards to the LEAs were non-competitive. However, any LEA agreeing to participate was required to sign a memorandum of understanding (MOU) with the state, submit a detailed scope of work and budget, and sign a terms and conditions letter indicating their responsibilities as a subgrantee.

For more information on the Race to the Top grant please see the below resources:

- Colorado's RTTT Website: <http://www.cde.state.co.us/RTTT>
- US Department of Education's RTTT Website: <http://www2.ed.gov/programs/racetothetop/index.html>

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## Colorado Department of Education (CDE) Role and Responsibilities

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CDE acts as the programmatic and fiscal monitoring agent for the Race to the Top subgrantees on behalf of the US Department of Education. CDE views this responsibility as having a larger role in providing LEAs and BOCES with technical assistance and support in implementing the state's reform agenda and disseminating information and knowledge gained through participation in the grant program to other LEAs/BOCES.

CDE will be reporting to the US Department of Education on a monthly and annual basis.

Colorado's RTTT office will stay connected with LEAs/BOCES through e-mail, calls, and visits (as needed) throughout the four year grant cycle, and will use these moments of connection to learn about the challenges and successes each LEA/BOCES is having and share this knowledge with other LEA/BOCES working on the same allowable activities/actions.

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## Overview of Race to the Top (RTTT) Manual

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CDE's intention for the Race to the Top Manual is to give LEAs and BOCES participating in RTTT a clear understanding of the grant's objectives and requirements. The manual includes detailed overviews and descriptions of the following:

- The monitoring structure CDE will be using for LEAs/BOCES participating in RTTT;
- Reporting requirements and support activities;
- Amendment processes; and
- Budget information and instructions to request funds.



## Tiered Monitoring System

In order to provide a level of monitoring and support consistent with LEA and BOCES needs, CDE will use a two- tiered monitoring system for all LEA/BOCES. Level One LEA/BOCES will submit their scope of work (SOW) progress updates on an annual basis; no later than July 10 of each year. Level Two LEA/BOCES will submit their scope of work progress updates on a semi-annual basis; no later than July 10 and January 10 of each year. The exception to this schedule is the first report of the grant period. For this report, all LEA/BOCES are expected to submit their scope of work progress update by October 10, 2012.

Colorado's RTTT office determined the tier designation for each LEA/BOCES based on the following criteria:

1. Accreditation Status of the District. For districts pooling funds, the accreditation status of the majority of the districts was taken into account.
2. Amount of Funds Awarded

Below is a graphic representing the tiered structure:

	Accredited with Distinction	Accredited	Accredited with Improvement Plan	Accredited with Priority Improvement Plan	Accredited with Turnaround
\$1,000 - \$99,999	1	1	1	2	2
\$100,000 - \$149,999	1	1	1	2	2
\$150,000 - \$499,999	1	1	2	2	2
\$500,000 - \$2.4 million	1	1	2	2	2

Some LEAs/BOCES were placed in a different level than indicated using these criteria. In those instances previous experience and planned activities were considered in the final designation of level.

LEA/BOCES will be notified of the tier to which they are assigned via email by Colorado's RTTT office.

Once an LEA/BOCES' funds are expended, they will no longer be required to submit semi-annual updates and will report on an annual basis only. CDE will notify each LEA/BOCES via email to confirm when they qualify for annual reporting.

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## Scope of Work Progress Update

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The scope of work (SOW) progress update is designed to be an easy and streamlined way to gather information for monitoring and support purposes on the activities, progress, and challenges LEAs and BOCES are facing in implementing the RTTT grant. Colorado's RTTT office will also use this update to provide additional technical support to LEAs and BOCES, as well as connect LEAs and BOCES with one another for support and resources.

The SOW progress update is the LEA's/BOCES's RTTT scope of work with an added column for the LEA/BOCES to report progress on each activity. Colorado's RTTT office has created a progress update example based on the example workplan in the SOW template. Please use this example as a guide when filling out your LEA/BOCES progress update and feel free to add as much detail to the "Status of Action" section as you want. These progress updates are meant to be working documents to assist you in the management of your RTTT grant.

The SOW progress update also includes an expenditure update and performance target update. LEAs/BOCES will fill out the Expenditure portion of the "Part 5 - Summary Budget" tab in their SOW document as part of each progress update until all funds are expended. At the end of each fiscal year, subgrantees are required to submit a progress update on their performance targets to CDE. The performance target update has been built into your scope of work document.

Only LEAs and BOCES managing activities/funds will submit progress updates. LEAs that are pooling funds with a BOCES or other districts do **not** have to submit any progress updates.

### Scope of Work Progress Updates Deadlines

*Progress Updates will be due on semi-annually or annually based on the LEA/BOCES' tier status.*

Tier One: October 2012, July 2013, July 2014, July 2015, and December 2015

Tier Two: October 2012, January 2013, July 2013, January 2014, July 2014, January 2015, July 2015, and December 2015.

## How to fill out the Scope of Work Progress Update

Colorado's RTTT office will e-mail each LEA/BOCES their SOW which will include added columns for the progress updates. In the same email the RTTT office will inform each LEA/BOCES to which reporting tier they are assigned. You will build off of your last progress update for each new submission. To complete the SOW Progress Updates:

1. Open the SOW (Excel document) sent from RTTT and click on Tab "Part 4a – Progress Update." You will notice the added yellow columns, which signify the progress update portion of the SOW. Some of the future "Status of Action" columns are hidden. For instructions on how to unhide them, please see below.
  - a. In addition to reviewing the RTTT Progress Update example\*, please read the "Steps for Filling out the Progress Update" section at the top of the SOW before filling out the yellow column.
2. Fill out Part 4a –Progress Update.
  - a. "Status of Action" Section
    - i. Provide a status update for each action in your SOW. This should include the status on the timelines and budget, along with the overall status of the action.
    - ii. If you have any actions for which the timelines have not started, please mark "N/A" for that action.
  - b. "Dollars Spent to Date" Column
    - i. Provide the dollar amount spent to date on each action.
  - c. "Progress to Achieving Performance Targets" Section. This section is only to be filled out annually for your performance target update
    - i. State your progress on your performance targets. Please include quantitative data when possible.
3. Fill out Part 5 - Budget Summary
  - a. Indicate all expenses for which you have requested reimbursement in each budget line and fiscal year
4. Save your progress update as "LEA Code – Year.Month.Day Document Name". Example: 0000 – 2012.07.10 Progress Update
5. Submit file via Tracker by the due date
  - a. Login into Tracker (<https://tracker.cde.state.co.us>)
  - b. Choose "(11) Race to the Top (RTTT)" under "Instruments", then click "Search"
  - c. Click on "LEA/BOCES 0000"
  - d. Click "(11) Race to the Top (RTTT)"
  - e. Choose "II. Implementation" then click "2.1: RTTT Implementation"
  - f. On the right hand side, click the paperclip next to "RTTT Progress Update" to upload your file
  - g. When naming your file to upload, please name it as your "LEA Code – Year.Month.Day and Name of Document" Example: 0000 – 2012.07.10 Progress Update

A Scope of Work Progress Update example is located in your scope of work as tab eight (Sample Progress Update) and on Colorado's RTTT's website ([http://www.cde.state.co.us/RTTT/LEA\\_Information.asp](http://www.cde.state.co.us/RTTT/LEA_Information.asp)).

**Hidden Columns in Excel:** Colorado's RTTT has hidden the future reporting columns in your SOW, so your excel document isn't overwhelming when you open it. To access these columns, look at the top of your excel

sheet where the column letters are located, highlight columns “B” and the next column after it, right click, and choose “unhide.” You can use this same process to hide certain columns, too.

## Dissemination of Feedback/Information via Calls, Emails, and Site Visits

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CDE’s goal is to ensure that each LEA/BOCES is successful in achieving its desired goals and outcomes as described in its scope of work. To achieve this goal, Colorado’s RTTT office will schedule phone calls with each LEA and BOCES twice a year to discuss progress towards stated activities, goals, and outcomes in their scopes of work. Colorado’s RTTT office will also provide written feedback via email on all submitted reports within 30 days of submission at which time CDE will indicate if a follow-up phone call or site visit is required.

When possible, Colorado’s RTTT office will combine efforts with other CDE units (federal programs, field services, etc.) to conduct joint site visits to increase efficiency and effectiveness.

The purposes of the site visit are to:

- support ongoing quality improvement;
- verify subgrantee accountability for program implementation and management;
- review the progress toward the goals in the scope of work; and
- assure compliance with federal and state RTTT requirements.

For LEA/BOCES managing funds and activities, Colorado’s RTTT office will conduct a site visit or phone call to review your SOW and assist in filling out the first progress update between August and October 2012. The Colorado RTTT office will work with the primary contact as indicated on the scope of work to set up these calls or visits and will email the questions that will be asked during the visit/call to the LEA/BOCES at least one week prior to the meeting.

## LEA/BOCES Subgrantee Amendment Process

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An LEA/BOCES subgrantee may request a revision to its approved RTTT grant project. LEA/BOCES may propose revisions to goals, activities, timelines, budget, or annual targets, provided the following conditions are met:

- Such revisions do not result in the LEA/BOCES’ failure to comply with the terms and conditions of this award and the program’s statutory and regulatory provisions;
- The revisions are aligned with Colorado’s RTTT application; and
- The CDE and the LEA/BOCES mutually agree in writing to such revisions.

CDE has sole discretion to determine whether to agree to such revision or modifications.

Circumstances requiring submission of an amendment request:

- **Changes in activities.** An LEA/BOCES must request an amendment for any proposed revision that constitutes a substantial change in activities from the approved grant project, regardless of budgetary impacts. Colorado’s RTTT office can help you determine whether the change is substantial. Such changes may include, but are not limited to, changes in goals, activities, timelines, or performance targets.
- **Major budgetary changes.** Budgetary changes include transfers among direct cost categories (i.e. personnel, travel, equipment) and among separately budgeted programs, projects, function, or activities that exceed 10% of the current annual approved budget. In such cases, an LEA/BOCES must request an

amendment to its budget. For additional information, please read the “Allowable Budget Revisions” section under Module 2 in the LEA/BOCES RTTT Manual.

What to include in the amendment request:

- **Allowable activity(s) that would be affected by the change.**
- **Description of the requested change.** Include a brief explanation of the original work/activities/budget and a detailed description of the new work/activities/budget being requested. Please include in your explanation the rationale for the proposed change and how it will help the LEA/BOCES meet its goals.
- **Impact statement regarding performance targets.** Explain how this change would affect the LEA/BOCES performance targets, and how the requested change helps the LEA/BOCES meet its goals.
- **Budget documentation.** Include the most recent relevant project-level budget table(s), and indicate with “track changes” the requested changes. Colorado’s RTTT team may request additional information, as needed. If the requested change impacts the budget, please determine if the budget must be amended according to the guidelines.
- **Signatures.** For LEAS/BOCES receiving amounts greater than \$200,000, the RTTT main contact person identified in the scope of work for the LEA/BOCES and the Superintendent must sign the request. For LEA/BOCES receiving amounts less than \$200,000, only the main contact person needs to sign the request.

When and how to submit an amendment request:

- All requests should be submitted to the Colorado’s RTTT office via e-mail.
- Amendment requests must be submitted and approved prior to implementing any changes to grant activities.

Amendment requests can be submitted to Colorado’s RTTT office at any time. The RTTT office will make every effort to review and make a determination on submitted amendment requests within ten business days. In cases where a decision cannot be made without more information or clarification from the LEA/BOCES, decision timeframes will be adjusted on a case-by-case basis.

### **Decision to withdraw from RTTT Grant**

An LEA/BOCES may decide to withdraw from the RTTT grant project, as long as the terms of the withdrawal are consistent with the termination terms in the MOU signed between the State and the LEA/BOCES and, if applicable, with the SOW.

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## LEA/BOCES RTTT Budget

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Colorado chose to change its RTTT grant fiscal years to align with the academic year (July-June), which required a shift in the allocation of funds. In order to make sure your reimbursement requests are aligned with your activities by fiscal year, please review your LEA/BOCES budget and make sure that all costs associated with activities are located in the correct fiscal year in the budget included with your scope of work. If you notice funds are located in the wrong fiscal year, please change the budget and email it to Colorado's RTTT office ([racetothetop@cde.state.co.us](mailto:racetothetop@cde.state.co.us)) with a description of what was changed and why. Below are the correct fiscal years that should be used for all LEA/BOCES budgets. Please note that the final fiscal year covers an 18 month period.

### RTTT Fiscal Years

Year 1: December 22, 2011 to June 30, 2012

Year 2: July 1, 2012 to June 30, 2013

Year 3: July 1, 2013 to June 30, 2014

Year 4: July 1, 2014 to December 22, 2015

Fiscal management requires that the subgrantees expend funds in accordance with their approved scope of work goals, activities and budget as well as comply with federal and state requirements.

### Fiscal Responsibilities

- Understand your grant budget and allowable expenditures.
- Use clearly defined fiscal procedures and processes.
- Maintain accurate records of funds received and dispersed.
- Manage revenues and expenses in accord with federal and state requirements.
- Complete required reports accurately and in a timely manner.
  - **Requests for Funds** are to be submitted via Tracker. The deadline for submitting requests for funds for the previous period is the 10<sup>th</sup> of each month.

RTTT funds are subject to Education Department General Administrative Regulations (EDGAR) and the reporting requirements associated with Federal Funding Accountability and Transparency Act (FFATA). Please see your subaward Terms and Conditions letter for all applicable regulations.

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## How to fill out Request for Funds document

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To comply with the federal requirements from the US Department of Education, the Colorado Department of Education (CDE) will require **ALL** LEAs (including LEAs that are part of a BOCES or pooling district) to request reimbursement funds via Tracker. The Request for Funds form needs to be uploaded to Tracker by the 10<sup>th</sup> of each month.

**Process for LEAs/BOCES Pooling Funds:** For LEAs that are pooling funds, the BOCES or lead district will invoice the districts for their expended amount, the LEA will request funds from CDE, and CDE will send a check directly to the LEA. The LEA is responsible for paying the BOCES or lead district.

1. Open the “RTTT Request for Funds” document in Excel located in Tracker under 2.1 RTTT Implementation
  - a. Login into Tracker (<https://tracker.cde.state.co.us>)
  - b. Choose “(11) Race to the Top (RTTT) under “Instruments”, then click “Search”
  - c. Click on “LEA/BOCES 0000”
  - d. Click “(11) Race to the Top (RTTT)”
  - e. Choose “II. Implementation” then click “2.1: RTTT Implementation”
  - f. Under “Resources” click on the link “RTTT Request for Funds” to open the file
2. In the highlighted box select your district from the dropdown menu. “Total 4-Year Allocation,” “Year-by-Year Funds Available,” and “Current Year – Total Funds Available” amounts will be automatically populated.
3. Enter the total expenditures to date. For subsequent requests after your first, enter the previously requested funds for the current year. The “Current Request for Funds” amount will calculate automatically. The “Remaining Funds Available” for the current year will automatically populate.
4. Save your Request for Funds Excel sheet as “LEA Code – Year.Month.Day Document Name”.  
Example: 0000 – 2012.07.10 Request for Funds
5. Submit file via Tracker by the 10<sup>th</sup> of the month.
  - a. Login into Tracker (<https://tracker.cde.state.co.us>)
  - b. Choose “(11) Race to the Top (RTTT) under “Instruments”, then click “Search”
  - c. Click on “LEA/BOCES 0000”
  - d. Click “(11) Race to the Top (RTTT)”
  - e. Choose “II. Implementation” then click “2.1: RTTT Implementation”
  - f. On the right hand side, click the paperclip next to “RTTT Request for Funds ” to upload your file
  - g. When naming your file to upload, please name it as your “LEA Code – Year.Month.Day and Name of Document” Example: 0000 – 2012.07.10 Request for Funds

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## Allowable Funds

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All costs should align with approved activities in your Scope of Work (SOW). Approval must be granted before funds are expended for activities not listed in your SOW.

An **allowable cost** is:

- **Necessary:** A cost is necessary if it is required for the proper and efficient performance and administration of the grant. The program goals and objectives can be a helpful lens for determining if the cost is necessary to implement the approved grant.
- **Reasonable:** A cost is reasonable if it is an amount that a “reasonable person” would expend. Another test would be to assess the market value of comparable goods or general recognition that cost is considered “ordinary and necessary” for performance of the grant.
- **Allocable:** A cost is allocable in relation to the benefit that particular grant program receives. If a grantee charges 100% of a cost to the grant then the entire (100%) benefit from the expenditure must serve the grant.
- Authorized or not prohibited under state or local laws and regulations

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## Allowable Budget Revisions: 10%Rule

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- Budget revisions include any changes to funding in budget lines.
- Any budget change must remain within the scope and objectives of the grant program.
- Within a fiscal year, budget lines may be revised without prior written approval from Colorado’s RTTT office if the cumulative amount of the transfers is less than 10% of the **total** budget during a single fiscal year.
- If the cumulative amount of the transfers is 10% or more, written notification of the budget change, using Colorado’s RTTT Amendment form, must be provided to Colorado’s RTTT office prior to implementing any changes to grant activities.
- Any budget change must be made no less than 90 days prior to the end of the fiscal year
- Changes are subject to review by Colorado’s RTTT office

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## Carryover of Funds

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- Funds should be expended in accordance with the submitted scope of work and budget.
- If necessary, funds may be carried over to complete fiscal responsibilities encumbered at the end of the preceding fiscal year.
- A maximum of 15% of annual budget funds remaining at the end of the fiscal year will be carried forward automatically to the next fiscal year.
- This carry over is automatic and will carry forward funds in existing budget categories/lines.
- If there are remaining funds at the end of the four-year grant period, those funds will be returned to the US Department of Education.



## BOCES-Pooling LEAs Accounting Codes

For LEAs who are pooling funds from the Race to the Top grant (CFDA #84.413/Grant # 4413) with a lead district or BOCES, below is an example on how each party will account for this exchange of funds.

### Example:

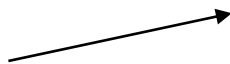
BOCES invoices LEA for activities arranged/performed by the BOCES.

LEA submits reimbursement request to CDE (via Tracker).

LEA receives reimbursement check from CDE.

LEA reimburses the BOCES for amount invoiced.

LEA/District:				BOCES:			
-	4000	source - \$	10,000	-	4951	source - \$	10,000
-	0591	object - \$	10,000				



LEA receives funds from CDE and books Source (4000) then issues payment using Object (0591).

BOCES receives funds from LEA and books Source (4951)

<u>Fund</u>		<u>Location</u>		<u>SRE</u>		<u>Program</u>		<u>Source/ Object</u>		<u>Job</u>		<u>Grant</u>		<u>Amount</u>
LEA:														
22	—	XXX	—	XX	—	XXXX	—	4000	—	XXX	—	4413	—	\$ 10,000
22	—	XXX	—	XX	—	XXXX	—	0591	—	XXX	—	4413	—	\$ 10,000
BOCES:														
22	—	XXX	—	XX	—	XXXX	—	4951	—	XXX	—	4413	—	\$ 10,000

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## Next Steps: Check List-Timelines

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July 10, 2012

- First time to request funds via Tracker for May/June expenditures

August-October 2012

- Colorado's RTTT office conducts phone calls to assist with completing the first progress update and expenditure report and to discuss questions sent to the LEA/BOCES via email at least one week prior to the meeting.

October 10, 2012

- All LEA/BOCES submit progress update via Tracker

January 10, 2013

- Tier 2 LEA/BOCES submit progress update via Tracker

March-June 2013

- Colorado's RTTT office conducts phone calls to touch base with LEA/BOCES about the progress of their RTTT work

July 10, 2013

- All LEA/BOCES submit progress update via Tracker

August-November 2013

- Call with Colorado's RTTT office to review annual progress update. Specific questions to be addressed during the call will be emailed to the LEA/BOCES at least one week prior to the call.

January 10, 2014

- Tier 2 LEA/BOCES submit progress update via Tracker

March-June 2014

- Colorado's RTTT office conducts phone calls to touch base with LEA/BOCES about the progress of their RTTT work

July 10, 2014

- All LEA/BOCES submit progress update via Tracker

August-November 2014

- Call with Colorado's RTTT office to review annual progress update. Specific questions to be addressed during the call will be emailed to the LEA/BOCES at least one week prior to the call.

January 10, 2015

- Tier 2 LEA/BOCES submit progress update via Tracker

March-June 2014

- Colorado's RTTT office conducts phone calls to touch base with LEA/BOCES about the progress of their RTTT work

July 10, 2015

- All LEA/BOCES submit progress update via Tracker

August-November 2015

- Call with Colorado's RTTT office to review annual progress update. Specific questions to be addressed during the call will be emailed to the LEA/BOCES at least one week prior to the call.

Check out Colorado's RTTT website for additional information, webinars, and materials –

<http://www.cde.state.co.us/RTTT/>

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## Race to the Top Contact Information

### Race to the Top Main Office

Email: [racetothetop@cde.state.co.us](mailto:racetothetop@cde.state.co.us)

Website: <http://www.cde.state.co.us/RTTT/>

Address: Colorado Department of Education, 201 E. Colfax Rm 515, Denver, CO 80203

### Race to the Top Director – Tricia Miller

Phone: 303.866.5735

Email: [miller\\_t@cde.state.co.us](mailto:miller_t@cde.state.co.us)

### Race to the Top Project Manager – Tiffany Deines

Phone: 303.866.5723

Email: [deines\\_t@cde.state.co.us](mailto:deines_t@cde.state.co.us)